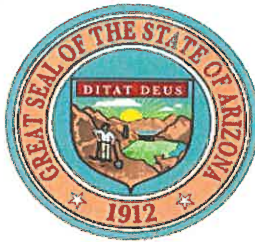


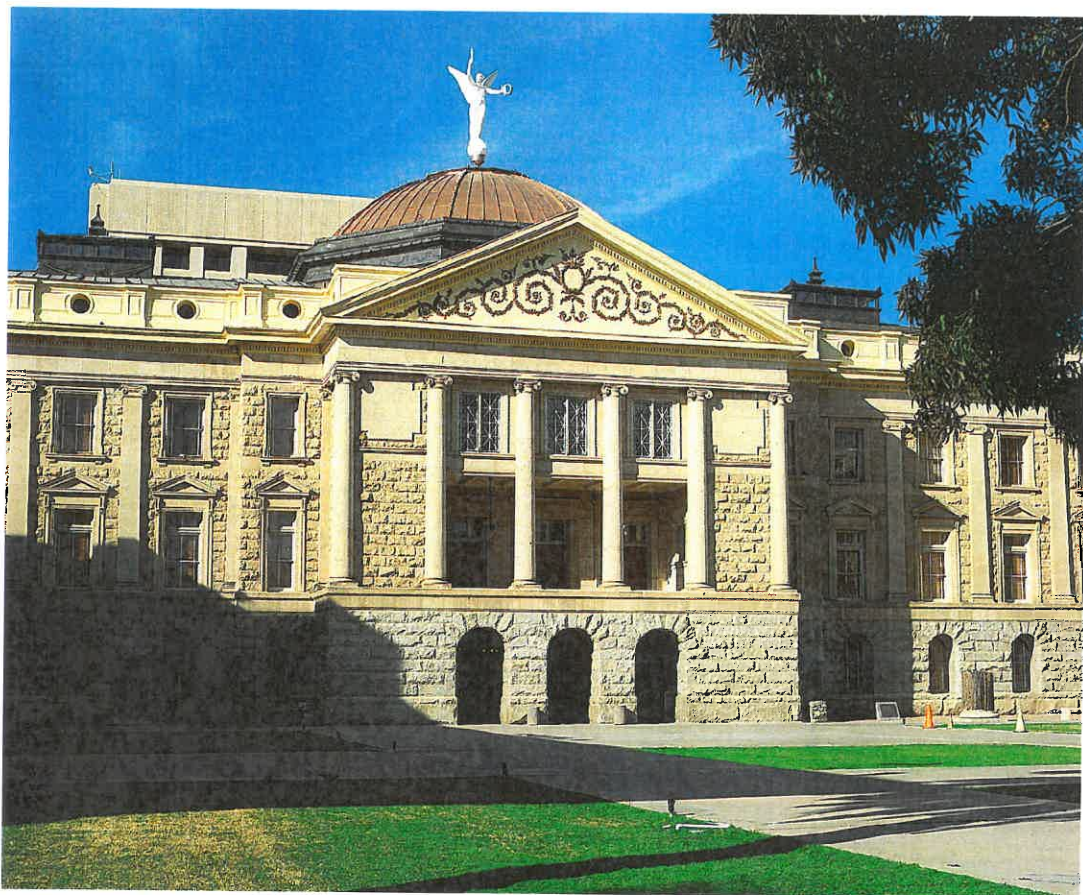
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Arizona Department of Administration State Procurement Office

"Providing procurement services through operational leadership, legal compliance, and enhanced value for our customers and the state's procurement community."



Arizona Game and Fish Division Procurement Performance Review

Prepared by: SPO Compliance
08/18/2014

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW
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**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW
SUMMARY**

The State Procurement Office (SPO) performed a Procurement Performance Review (PPR) of Arizona Game and Fish Department (AGFD) commencing on August 18th, 2014, in accordance with Arizona Procurement Code R2-7-201, R2-7-202, Governor's Executive Order 2005-01, and SPO Technical Bulletin No. 003, Revision 5. The review focused on the agency's ability to properly exercise procurement authority in accordance with its procurement delegation, the Arizona Procurement Code (APC), SPO Technical Bulletins, and SPO Standard Procedures.

The review included an examination of the agency's procurement policies and procedures manual; review of previous audit and personnel training records; observation of internal systems controls; interview with purchasing personnel; review of quarterly and annual agency procurement reports; examination of solicitations, contracts and purchase orders performed by the agency.

11 solicitations and contracts were randomly selected for review from within the last 12 months. The scope of this visit was limited to the last 12 months for the purposes of reviewing procurement office practices most closely aligned to the practices exercised present day. The reviewed files included two requests for quotations (RFQ), four invitation for bids (IFB), three requests for proposals (RFP), one request for qualifications, and one competition impracticable.

This review may not have detected, nor should it be relied upon to detect, all deficiencies that may have existed or improvements that should have been employed by the agency at the time of the review. Contained in this report are the findings and recommendations.

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW
FINDINGS, RECOMMENDATIONS, NOTEWORTHY PRACTICES**

1. Delegation of Procurement Authority

Delegation of Procurement Authority, prescribed by SPO Technical Bulletin No. 002, provides for the Chief Procurement Officer (CPO) of a State Governmental Unit (Agency) to sub-delegate procurement authority based on personnel procurement training, experience, certifications held, and successful completion of ProcureAZ training modules. Sub-delegation of procurement authority is limited to the Agency CPO's delegation, or less, and is given in writing to qualified personnel who have met the criteria of Technical Bulletin No. 002. Sub-delegation of procurement authority, per the AGFD Certificate of Unlimited Delegated Procurement Authority, must be communicated to SPO within five working days of any change to delegation.

Findings

During this PPR, the AGFD procurement personnel letters of delegated procurement authority, HRIS YES procurement training transcripts, SPO records of agency delegated procurement authority, and projected contract spend against sub-delegated authority were reviewed.

Of the five procurement personnel in the AGFD Procurement Office, it is observed that HRIS YES training transcripts do not reflect required ProcureAZ CBT training commensurate to the delegated procurement authority for all procurement personnel as specified by SPO Technical Bulletin #002 and the agency's Delegated Procurement Authority. Additionally the sub-delegation letters, although signed by the CPO, do not have the sub-delegated personnel signatures to reflect acknowledgement of authority and limitations. Finally, sub-delegated procurement authority was most recently established in January 2014 per the CPO sub-delegation letters to personnel. While each Buyer II reflect \$100,000 sub-delegated authority for competitive solicitations, the most recent State Governmental Unit's Delegated Procurement Personnel list received by SPO (December 2013) only reflects \$25,000 authority. During interviews with procurement personnel, it was explained that the

\$100,000 was viewed as an annual \$25,000 authority, spread across contract renewals for a net \$100,000 authority.

Recommendations

1.a. It is the recommendation of the SPO Compliance unit that AGFD personnel complete ProcureAZ CBT trainings located in HRIS YES commensurate to each individual's position title and grade, as per TB#002 as soon as possible.

1.b. It is the recommendation that AGFD distribute new sub-delegation letters to its procurement staff for the purposes of obtaining signatures of acknowledgement of authority and limitations.

1.c. It is the recommendation that AGFD issue a revised State Governmental Unit's Delegated Procurement Personnel list to SPO reflecting current sub-delegated amounts for all personnel, as represented by the sub-delegation letters, or alternatively, revise sub-delegation letters to exclude \$100,000 authority to personnel who are only intended to have \$25,000 authority. The A.P.C. recognizes the projected aggregate dollar amount of a contract to ensure procurements are not artificially subdivided, fragmented, or combined to circumvent the Arizona Procurement Code, and therefore contracts projected to spend \$100,000 through the life of the contract should be contracted by personnel with, specifically, \$100,000 or more delegation.

2. Procurement Policies and Procedures Manual

A procurement policy and procedures manual is beneficial to establish guidelines and standards for the acquisition of products and services by AGFD. A relevant, and up-to-date, manual fosters consistent procurement practice within AGFD and serves as a basis for procurement control and oversight. As a best practice in public procurement, a purchasing policy and procedures manual should include, at a minimum, AGFD-specific instructions that supplement the general instructions of the APC, SPO Technical Bulletins, and Standard Procedures. Moreover, the United States Sentencing Commission recognizes the existence, and use, of organizational policies and procedures is the single greatest mitigating factor in determining organizational culpability for criminal misconduct.

Findings

AGFD has a procurement policy and procedures manual which provides direction to personnel on the acquisition of products and services. However, this manual is out-of-date, with sections dated from 1998 through 2008. This manual does not provide guidance for current solicitation thresholds or the use of ProcureAZ. According to office personnel, it is standard practice to identify the correct, up-to-date, policies on the SPO Website. For the advantage of new procurement personnel to AGFD, the benefits of this procurement manual would be limited. The agency does have an intranet site with more up to date procurement procedures, however this too requires updating. According to the CPO, the AGFD intranet site will be updated within the next 6 months.

Recommendations

2.a. It is the recommendation of the SPO Compliance unit that AGFD endeavor to update its procurement policies and procedures manual as soon as possible.

Revisions to the AGFD procurement policies and procedures manual should not only reflect current state procurement policies, but also the specific practices of the procurement office at AGFD. Revision to the manual should focus on maximizing the procurement office's effectiveness and efficiency in the acquisition of goods and services by providing a clear, workable, direction to both skilled and new procurement personnel.

3. Contract Files

Document Standards prescribed by SPO Standard Procedure No. 006 provides a list of required documents which shall be located, as applicable, in the solicitation and contract files on ProcureAZ, as well as the naming conventions associated with each document. These standards assist both the procurement officer in document management and the public in viewing the solicitation and contract files. These standards also help reduce procurement officer reliance of memory regarding which documents must be made available to public view. While the APC defines the procurement file as the official records file is either electronic or paper, Standard Procedure #006 addresses the electronic upload of documents into ProcureAZ, and Technical Bulletin #020 has designated files on ProcureAZ as the State of Arizona's official procurement records.

Findings

The official file of record for AGFD is in process of becoming completely electronic on ProcureAZ, with full implementation, according to the CPO, within six months. In the meantime, some documentation is noted as being in either a paper file, an electronic file, or both. 11 files, located on ProcureAZ, were reviewed for this PPR.

Of the 11 files reviewed, nine lacked either an electronic request in ProcureAZ or a written request uploaded into ProcureAZ as required by SPO SP #024 to initiate the solicitation process (6.1A, 6.1B, 6.2A, 6.2B, 6.2C, 6.2D, 6.3A, 6.3B, 6.3D). During this review, interviews with the procurement staff indicate a new process is currently underway at AGFD which will now require paper requisitions submit to the procurement office by offsite managers.

Three out of four applicable solicitations lacked evidence that the solicitation for services (other than construction or professional) was published in a newspaper a minimum of 14 days prior to bid opening (6.2C, 6.2D, 6.3A). Note: all three documents were made available in hard-copy form after review of the contract file on ProcureAZ. Five of six applicable solicitations –since October 2013- were not found on the SPO list of significant procurement activity required by SPO SP#003, as found on the SPO Website (6.1A, 6.2B, 6.3B, 6.3C, 7.3). Through interviews with the branch staff, there appears to be misunderstandings in regards to the Procurement Disclosure Statement (PDS), as staff indicated all evaluation team members, regardless of (non)state employment, are now required to complete this form, in lieu of a Conflict of Interest Statement for non-state-employees.

Several contracts reviewed also lacked the most current versions of applicable documents. For example, four of four applicable contracts (RFPs) lacked the SPO mandatory Additions to Special Instructions to Offerors: Responsibility, Responsiveness, and Susceptibility criteria, provided within SPO TB#047 (6.3A, 6.3B, 6.3C, 6.3D). Additionally, three out of seven contracts used out of date Uniform Terms and Conditions and/or Uniform Instructions (6.2A, 6.2B, 6.2C).

Additionally, three of 11 contracts reviewed lacked an Offer & Acceptance Letter both signed by the successful offeror, and counter-signed, by the procurement office (6.1A, 6.1B, 6.2C).

Note: all three documents were made available in hard-copy form after review of the contract file on ProcureAZ. Lastly, five of 11 contracts reviewed did not contain current and up-to-date certificates of insurance (6.1B, 6.2A, 6.2B, 6.2C, 6.3A), although Special Terms and Conditions specifically state regarding insurance, *“Contractor and subcontractors shall procure and maintain until all of their obligations have been discharged.”* Without non-expired certificates of insurance in file, the current standing of vendor insurance is left in question. Note: two non-expired certificates of insurance were made available in hard-copy form after review of the contract file on ProcureAZ.

Recommendations

3.a. At a minimum, the SPO Compliance unit strongly recommends identifying the missing items addressed above, scanning, and uploading them to the respective contract files on ProcureAZ.

3.b. As a method to help prevent future errors or omissions in contract file documentation, the SPO Compliance unit recommends the revision, and implementation, of the contract file checklist currently found in the AGFD procurement policy and procedure manual addressed in Finding #2. Although Standard Procedure No. 006 addresses a general listing of required documentation which should be found in contract files across all procurement offices in the State of Arizona, this list does not recognize the individual needs of each State Governmental Unit. The use of a contract file checklist, in supplement to Standard Procedure No. 006, would assist AGFD in ensuring each specific document, applicable to both the solicitation type and the respective agency, is uploaded to ProcureAZ. Additionally, CPO review of this checklist, as a second reviewer, may help catch any errors or omissions.

3.c. It is also recommended the CPO ensure procurement personnel purge expired contract templates and ensures new templates are saved which include the most up-to-date SPO Uniform Terms and Conditions, Instructions to Offerors, and include the SPO mandatory Additions to Special Instructions to Offerors for RFPs.

3.d. It is recommended that the CPO implement contract administration procedures in the revised AGFD procurement policy and procedure manual which ensures non-expired certificates of insurance are queued to be obtained by procurement personnel prior to the expiration of aged certificates of insurance (i.e. the use of Outlook Calendar Reminders).

3.e. Additionally, it is recommended the CPO ensures all procurement personnel are trained to require non-state employee evaluators sign a Conflict of Interest Disclosure in lieu of a PDS.

3.f. It is recommended the CPO closely monitor the AGFD procurement office's efforts toward its self-designated goal of 100% contract filing on ProcureAZ. Doing so will reduce the reliance of paper copy files, response time to public information requests, and the draw of procurement personnel time for completing manual processes.

3.g. Requisitions, when the needed commodity or service is above the requestor's delegated procurement authority, should be submit either electronically or in writing, to the AGFD procurement office, and retained in the state recognized contract file of record, on ProcureAZ. AGFD procurement personnel should review ProcureAZ Quick Reference Guide – General Navigation (Requisition), as well as contact the ProcureAZ Help Desk, to ensure requisitions are entered properly to initiate the competitive solicitation process.

Additional Comments:

From the discussions with the procurement personnel, it has been made abundantly clear that the personnel are already stretched for time to complete all of their daily tasks. It is the SPO Compliance Unit's recognition that implementation of new processes will be, yet another, taxation of the office's time. However, the recommendations herein are intended to ultimately streamline processes and improve efficient use of procurement personnel work hours in the future. Efficient use of time should also help reduce errors and omissions which might result from rushed work.

Some such daily responsibilities may be redirected to other sources to help reduce the office staff's limited resources of time. Foremost this should include drawing upon the resources of the ProcureAZ Help Desk. It was documented frequently through discussion with the procurement personnel that vendors and offsite users (ASTs) require ProcureAZ assistance and know to draw upon AGFD procurement personnel for assistance. These inquiries, rather, should be directed to the ProcureAZ Help Desk. Additionally, the AGFD procurement office should resolve issues causing "error codes" for requisition processing in ProcureAZ with the ProcureAZ Help Desk so as to reduce handling time associated with manual processes.

Lastly, it is the SPO Compliance Unit's recognition that the implementation of new processes recommended herein, including a potential decrease in sub-delegation of procurement authority for two personnel to match that reported to SPO, may result in additional strain on the procurement office's time. At present, the office has two positions which remain unfilled, and it would be beneficial to the AGFD procurement office to further sub-divide the vast range of responsibilities if one, or both, of these vacant positions were filled.

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW
CONCLUSION**

The AGFD procurement personnel have a strong working knowledge of the Arizona Procurement Code as well as a wealth of industry experience. Through our discussions together it was clear that procurement personnel knew where to find the answers to questions they may have through the course of their daily responsibilities: APC, Technical Bulletins, Standard Procedures, and management.

Through addressing three recommended areas of improvement, AGFD will enhance its professional image and reduce the risk of non-compliance. The three key recommendations include:

- 1.) Delegation of Procurement Authority – update sub-delegations and notify SPO within 5 working days if change is made to \$25,000/\$100,000 authority.
- 2.) Update the Procurement Policies and Procedures Manual
- 3.) Contract Files – Implement Checklist to assist staff in ensuring electronic contract files are complete and accurate on ProcureAZ.

Finally, it is recommended AGFD management review all actionable recommendations contained within the worksheets herein.

The State Procurement Office Compliance Unit would like to express our appreciation to AGFD management and staff for their cooperation during the course of our review.


Jeremy Beakley, MBA, CCEP
Compliance Officer

9/3/14
Date


Barbara Corella
State Procurement Administrator

9/3/14
Date

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

State Agency: AGFD

State Agency Delegated Authority: \$Unlimited

The following criteria were considered in the procurement performance review process in compliance with AZSPO Technical Bulletin No. 3, Procurement Compliance Reviews – Phase 2 (Organizational Chart, Purchasing Policy and Procedures Manual, List of Delegated Employees, & other documents as requested).

Item No.	Compliance Criteria					
1.0	Purchasing Organization	N/A	Yes	No	Requires Action	Comments
1.1	Does the procurement office have an accurate organizational chart that shows current employee designation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.2	Does the procurement office have a Chief Procurement Administrator (CPO) signed delegated procurement authority on file?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.3	Have procurement personnel completed necessary training applicable to delegated authority? (TB# 002)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	HRIS YES Transcripts reflect required training necessary as follows: CPO: ADSP0202, ADSP0210C, ADSP0400. Sr. Procurement Specialist: ADSP0210C. Procurement Specialist: ADSP0210C. Buyer II(a): ADSP0210C. Buyer II(b): ADSP0210C
1.4	Are the employees listed on the organizational chart assigned full-time procurement and contracting duties?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.5	Agency has well documented process for adding/deleting/modifying delegated authority in ProcureAZ.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Agency Procurement manual is out of date and non-inclusive of ProcureAZ procedures. See 2.0.

Item No.	Recommendations	Assigned to	Estimated Completion
1.3	Agency procurement personnel should endeavor to complete procurement training applicable to each respective personnel's' delegated procurement authority.	CPO, Sr. Procurement Specialist,	ASAP

		Procurement Specialist, Buyer II(a), Buyer II(b).	

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Item No.	Compliance Criteria					
2.0	Purchasing Policies and Procedures Manual	N/A	Yes	No	Requires Action	Comments
2.1	Does the agency have a purchasing policies and procedures manual and/or solicitation checklist?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.2	Is the agency's purchasing policies and procedures manual current and in compliance with the AZ Procurement Code (APC), applicable executive orders and SPO Technical Bulletins (TB)?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Note: In addition to individual comments below in this section, it should be noted that the AGFD Intranet site is much more up to date than the desk manual, although the site itself also would benefit from updates. Per the CPO, this is scheduled to be completed within the next 6 months.
2.3	Does the agency's manual provide comprehensive instructions on the following?					
2.3.1	Description of the purchasing cycle	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Purchasing cycle provided per 2008 AGFD intranet printout – processes are out of date (i.e. FAQ - procedural questions: dollar thresholds; use of ProcureAZ).
2.3.2	Roles and delegation assignments of procurement personnel	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.3.3	Agency-specific instructions on how to process purchase requisitions and purchase orders	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Manual based on 2008 AGFD intranet printout – does not reference ProcureAZ.
2.3.3.1	Instructions on how to process purchase orders and contract releases issued in ProcureAZ.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	See 2.3.3
2.3.4	Instructions on how to use the					Desk manual is pre-

	agency's procurement system	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ProcureAZ
2.3.5	Instructions on how to prepare specifications and scopes of work	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Guidelines for Specifications drawn from 2006 Arizona Procurement Code.
2.3.6	Instructions on how to process sole source, limited competition, and emergency procurements (Unlimited w/in authority; Limited to SPO)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Procurement manual defines sole source and emergency procurements, however does not provide procedures on how to process such procurements.
2.3.7	Instructions on how to conduct solicitations, as applicable to agency delegated authority (e.g. IFB, RFP, RFQ)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Procurement manual, referencing AGFD Operating Manual, does not reflect increased dollar limits resulting from procurement reform.
2.3.8	Instructions on contract administration and procurement file management	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Procedures guide paper contract files – need to update to incorporate electronic e-procurement practices/ProcureAZ.
2.3.9	Instructions on set-aside purchasing	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Procurement manual contains reference to check the Set Aside list, however does not specify what to do in referencing list, or agency's objective to meet set aside goals. Sample contract checklists do not address set-aside.
2.3.10	Instructions on submitting agency procurement reports (e.g. changes in delegated personnel, set-aside program, Compliance with AZ Legal Workers Act, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
2.3.11	Instructions on how to process cooperative purchasing agreements (TB# 005)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
2.3.12	Instructions on how to use P-Cards	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.3.13	Instructions on how to dispose of agency surplus property	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
2.3.14	Procurement ethics (TB# 001)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
						The staff knowledge and

2.4	Are employees complying with the agency's established purchasing policies and procedures manual?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	practice demonstrate more closely aligned compliance to current APC, Standard Procedures, and Technical Bulletins, than that of the 2008 procurement manual.
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Item No.	Recommendations	Assigned to	Estimated Completion
2.0	Procurement office should endeavor to update its procurement manual to reflect present day procedures and processes, specific to the agency, for the use of ProcureAZ, revised Arizona Procurement Code, Technical Bulletins, and Standard Procedures, as well as add new segments (addressed within this report) not previously included in the procurement manual.	CPO	ASAP

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Item No.	Compliance Criteria					
3.0	Agency Reporting Requirements	N/A	Yes	No	Requires Action	Comments
3.1	Is annual list of all agency delegated procurement personnel current and accurate? (SPO TB #002)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Sub-Delegations reflect \$100,000 Delegated Procurement Authority for each Buyer II, however annual list at SPO reflects \$25,000 each.
3.2	Were agency procurement personnel delegation changes reported within five working days to SPO? (See agency delegation agreement)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	See 3.1
3.3	Are all agency requisitions, purchase orders, receipts, formal and informal solicitations and contract administration conducted on ProcureAZ? (See agency delegated authority)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Contract releases are currently not conducted in ProcureAZ.
3.4	Are quarterly sole source, emergency, and competition impracticable procurement reports to SPO timely and accurate [if applicable – see Delegated Procurement Authority]? (ARS §41-2536, §41-2537, SPO TB #041)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.5	Are procurement protests, claims, decisions and agency reports submitted to SPO within five days of receipt or completion? (See agency delegation on administrative actions)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	See Watercraft Decontamination - January 2014.
3.5.1	Does agency CPO make written determination to either proceed with award or stay all, or part, of the procurement – providing copies of determination to SPO & interested parties? (R2-7-A902)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.5.2	If a stay was issued, did Director dismiss the stay either to protect the	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	substantial interest of the state, if the appeal did not state a valid basis for the protest, if the appeal was untimely, or if the appeal attempted to raise issues not raised in the protest?					
3.6	Is the agency endeavoring to set aside one percent of new purchases to set-aside contractors? (ARS §41-2636 and SPO TB #004)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.7	Is agency verifying employment records of contractors and subcontractors, as per randomly selected by SPO? (ARS §41-4401, Executive Order 2005-30, & SPO SP #001)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	FY2014 Q3 AGFD13-042180 "Archery Equipment" randomly selected for validation

Item No.	Recommendations	Assigned to	Estimated Completion
3.1 3.2	Procurement office should align sub-delegated procurement authorities to match amounts and limitations as prescribed by SPO TB# 002 and notify SPO of any final changes to delegation.	CPO	Reporting: Ongoing; Manual: ASAP.
3.3	CPO communicates AGFD is endeavoring to provide offsite management ProcureAZ training and authority to approve requisitions electronically and to move away from paper processes. AGFD should continue to endeavor to conduct all requisitions in ProcureAZ within next six months.	CPO	ASAP

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Item No.	Compliance Criteria					
4.0	Procurement Personnel Training and Delegation	N/A	Yes	No	Requires Action	Comments
4.1	Does the agency provide in-house procurement training and mentoring programs for newly-hired procurement personnel?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Difficult to declare "Yes/No." Staff interviews range from "Yes we mentor" to "Here's the Code – go solicit." Defined in-house training procedures might enhance an updated procurement desk manual.
4.2	Do procurement personnel undergo procurement training to enhance proficiency and professional status of procurement? (TB# 001 & TB# 002)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	NIGP, SPO CBTs, SPO Certification Program.
4.3	Are agency procurement managers certified by a public procurement organization (NIGP, ISM, etc) (TB# 001 & TB# 002)?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.4	Is agency procurement staff certified by a public procurement organization (NIGP, ISM, etc) (TB# 001 & TB# 002)?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Buyer II(b) testing October 2014.
4.5	Are the agency's delegated procurement personnel taking the required (20) hours of procurement training each year? (Unl Delegated Procurement Authority)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.6	Did the agency CPO sub-delegate procurement authority to agency procurement personnel in writing? (R2-7-203)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Sub-Delegations assigned 01/06/14 by the CPO to each Buyer II reflect \$100,000 authority "to award competitively bid contracts", however latest "State Governmental Unit's Delegated Procurement Personnel" list for AGFD

						dated 12/24/13 reflects each Buyer II only have \$25,000 authority. *Note: Sub-delegated authorities only contain CPO signature – are not signed/acknowledged by sub-delegated procurement personnel.
4.7	Do agency sub-delegations include specific activities, functions, and limitations? (TB #002; Delegated Procurement Authority)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.7.1	Are staff delegated amounts in line with duties and title? (TB #002; Delegated Procurement Authority)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Note: Org. chart reflects each Buyer II as Procurement Technicians, in line with \$100,000 delegated authorities, however 12/24/13 Agency Delegated Procurement Authority (most current on file at SPO) lists them both as Buyer II. Per the CPO, AGFD in process of changing titles in AGFD to match SPO titles.
4.8	Were procurement personnel adequately trained prior to being granted procurement delegation by the agency CPO? (TB# 002; Delegated Procurement Authority)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	HRIS YES Transcripts reflect required training necessary as follows: CPO: ADSP0202, ADSP0210C, ADSP0400. Sr. Procurement Specialist ADSP0210C. Procurement Specialist: ADSP0210C. Buyer II(a): ADSP0210C. Buyer II(b): ADSP0210C

Item No.	Recommendations	Assigned to	Estimated Completion
4.6	Procurement office's sub-delegation letters should be revised to obtain sub-delegate's signature as	CPO	ASAP

	acknowledgement of authority and limitations.		

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Item No.	Compliance Criteria					
5.0	Procurement Internal Controls	N/A	Yes	No	Requires Action	Comments
5.1	Does the agency provide procurement staff ethics training as outlined by SPO TB #001?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Staff indicate agency strong enthusiasm for NIGP trainings which cover ethics, however staff do not recall any specific in-house ethics training within the last several years.
5.2	Does the agency have a procedure or policy for dealing with unethical behavior?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Staff was not aware of any specific AGFD policies or procedures for unethical behavior (other than zero-tolerance for gifts). Staff believed AGFD Dept. Operating Manual may cover it, although they were not certain. Note: DOM <u>does</u> contain good ethics policy, as does AGFD "Core Values" address ethics – should be reiterated & emphasized in Procurement Manual to improve recognition of policy.
5.3	Are any of the agency's procurement personnel or staff employed in secondary work that potentially conflicts with their ability to perform their procurement function, as must be disclosed per HR Conditions of Employment R2-5A-503? (SPO TB #001)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
5.4	Does the agency have internal systems of control to guard against employee or public officer purchase of materials or services for their own personal, or business, use from contracts entered into by the state? (R2-7-204)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

5.5	Does agency have on file Annual Procurement Disclosure Statements for all employees, whose regular responsibilities include: Soliciting quotes greater than \$10,000 for the provision of materials, services, or construction; Issuing open market purchase orders with department buyer or basic purchasing roles in ProcureAZ; and, making decisions on protests or appeals by a party regarding an agency procurement selection or decision? (SPO SP #003).	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.5.1	Has agency director waived Annual Procurement Disclosure Statements for any employees?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
5.6	Are responsibilities divided between different employees so one individual does not control all aspects of procurement?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.7	Upon receipt of a submission, and CPO written determination, is the procurement office adequately safeguarding confidential information? (R2-7-103)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.8	Are contract files kept safe from tampering by unauthorized personnel?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.9	Are there procedures in place to safeguard contract files during file reviews or when the public accesses the agency's procurement records?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.10	Does the agency routinely check statewide contracts and state set-asides prior to issuing an open-market requisition (Delegated Procurement Authority & SPO TB# 004)?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.11	Does the office regularly monitor agency P-card purchases? (SPO TB #040)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.12	Does the agency maintain adequate contract records to facilitate auditing by the State? (ARS §41-2548)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<p>AGFD maintains both electronic and hard-copy files, within which documents may be found in one, but not the other. It would ease audit of records if the files were maintained in the single electronic method (ProcureAZ) as</p>

						prescribed by SPO TB #020.
5.13	Does the agency make available the SPO "E-Comply" anonymous/confidential reporting compliance and ethics email address?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Through staff interviews, it was not apparent that personnel were made aware of the SPO E-Comply.
5.14	Other than ADOA's state financial system, does the agency have any other system of collecting financial data?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
5.15	Does the agency's internal audit conduct regular audits on procurement transactions?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.16	Were any finance or purchasing-related audits or reviews conducted on the agency within the past two years?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.17	Did agency management comply with the recommendations and corrective actions in the audit report listed in 5.16?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.18	Cooperative Contracts (TBD 09/14)					
5.18.1	Does the office practice due diligence in selection of cooperative contracts – cooperative contract complies with requirements of 41-2533, 41-2534, 41-2535, TB# 005?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.18.2	CPO performs cost analysis to determine best value? (R2-7-702)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.18.3	CPO reviews contract terms and conditions (R2-7-####)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.18.4	Office verifies vendor has capacity and willingness to extend contract to the state? (R2-7-####)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.18.5	Cooperative contracts are lesser of 25% of original contract or \$500k? (R2-7-####)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.18.6	Office verifies if State Contract already exists? (R2-7-####)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
5.12	Procurement office should maintain efforts, prescribed by the CPO, for 100% ProcureAZ/Electronic procurement files by no later than the office's projected 6 month self-determined deadline.	CPO	ASAP

5.13	CPO/Management should encourage, in addition to an open-door policy to speak with management directly, the use of the SPO E-Comply function online, as needed, for the reporting of procurement violations or concerns.	CPO	ASAP

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The following criteria were considered in the procurement performance review process in compliance with AZSPO Technical Bulletin No. 3, Procurement Compliance Reviews – Phase 3 (Representative Samples of IFB's, RFP's and RFQ's, Sole Source, Competition Impracticable, Emergency). "Stop & Go" review used – reviewing greater of 10, or 10% of prior year contract files.

The following criteria is used for each representative solicitation or contract.

Item No.	Compliance Criteria			
6.0	Contracts			

Request for Quotation (RFQ)	
Solicitation or Contract Number:	AGFD14-074697
Contract Title or Description:	Concho Lake Public Facilities and Trash Maintenance
Contract Estimated Amount:	\$5,000 - \$50,000

6.1A	Request for Quotations (RFQ)	N/A	Yes	No	Requires Action	Comments
6.1.1	Is there a Procurement Request, in writing, on file (Requisition (ProcAZ) /Email/Other)? (R2-7-205)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Solicitation addresses need for Pinetop Regional Office – FOR1. However, file does not contain specific written request from this office as Pre-Solicitation Documents: Applicable Pertinent Information. Documentation/Validation that initiated solicitation/need?
6.1.2	Should a set-aside or statewide contract been considered/used?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
6.1.3	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Approved by CPO.
6.1.4	Is there any evidence that this was artificially divided or fragmented so as to circumvent this section? (ARS §41-2535.C)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	

6.1.5	Does the RFQ include a statement that only a small business as defined in R2-7-101, shall be awarded a contract? (R2-7-D302)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.5.1	If RFQ was not awarded to a small business, is there a determination in file that less than three small businesses are registered, or that restricting procurement to small business is not practical under the circumstances (R2-7-D302)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6	Does the RFQ include the following (R2-7-D302.A):					
6.1.6.1	Offer submission requirements, including offer due date and time, where offers will be received, and offer acceptance period	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6.2	Any purchase description, specifications, delivery or performance schedule, and inspection and acceptance requirements	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Contract file does not contain a signed offer and acceptance letter. (Was available in hard copy file)
6.1.6.3	The minimum information that the offer shall contain	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6.4	Any evaluation factors	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6.4.1	Is conflict of interest disclosure in file for any/all non-employee evaluators	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6.5	Whether negotiations may be held	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6.6	The uniform terms and conditions by text or reference	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6.7	The term of the contract, including language for any applicable option for contract extension (ProcAZ Max/Control)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.7	Was the RFQ distributed to a minimum of three small businesses? (R2-7-D302)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.8	Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
						Solicitation is not

6.1.8.1	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	included on the SPO list of significant procurements (Contract date 06/30/14).
6.1.9	Is there a written basis for the award on file? (R2-7-D304)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.10	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.10.1	Does the file contain adequate justification for multiple awards, or otherwise obtained SPA authorization? (R2-7-608).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.11	ProcureAZ					
6.1.11.1	Is total spend limit locked in Control Tab?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	RFQ spend not anticipated to exceed \$50,000, however spend limit in ProcureAZ set to indicate no limit.
6.1.11.2	Bidders – General Tab: Is Bid Holder List hidden from Vendors? (preventing collusion)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.12	Contract Administration					
6.1.12.1	Are contract files and records complete and available for public inspection? – note “persons with disabilities” (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	See 6.1.6.2
6.1.12.2	Is there a valid and current Certificate of Insurance on file (if applicable)? (ARS §41-2573)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.12.3	Are the amounts on the Certificate of Insurance consistent with the contract requirements? (ARS §41-2573)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.12.4	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Uploaded documents do not match naming conventions listed in SP#006

6.1.12.5	For multi-term contracts, are there written determinations of extension in the contract files (> 5 years)? (R2-7-605.A-C)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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Item No.	Recommendations	Assigned to	Estimated Completion
6.1.1	Procurement office should scan and upload written requisition received for initiating this procurement.	Buyer II(b)	ASAP
6.1.6.2	Signed & counter-signed offer and acceptance letter should be scanned and uploaded to the contract file.	Buyer II(b)	ASAP
6.1.8.1	Procurement Office should develop procedures to ensure significant procurement role procedures are followed and communicated to SPO. Procedures should be reflected in the agency procurement manual.	CPO	Ongoing: Immediately. Manual: ASAP

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The following criteria were considered in the procurement performance review process in compliance with AZSPO Technical Bulletin No. 3, Procurement Compliance Reviews – Phase 3 (Representative Samples of IFB's, RFP's and RFQ's, Sole Source, Competition Impracticable, Emergency). "Stop & Go" review used – reviewing greater of 10, or 10% of prior year contract files.

The following criteria is used for each representative solicitation or contract.

Item No.	Compliance Criteria			
6.0	Contracts			

Request for Quotation (RFQ)	
Solicitation or Contract Number:	AGFD14-058951
Contract Title or Description:	Custodial Services – Region 6 – Mesa
Contract Estimated Amount:	\$5,000 - \$50,000

6.1B	Request for Quotations (RFQ)	N/A	Yes	No	Requires Action	Comments
6.1.1	Is there a Procurement Request, in writing, on file (Requisition(ProcAZ) /Email/Other)? (R2-7-205)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Solicitation addresses need for Region 6 - Mesa. However, file does not contain specific written request from this office as Pre-Solicitation Documents: Applicable Pertinent Information. Contract not linked to requisition in ProcureAZ. Documentation/Validation that initiated solicitation/need?
6.1.2	Should a set-aside or statewide contract been considered/used?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
6.1.3	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Procurement Officer's Delegated Procurement Authority is \$25,000 – no approval path in ProcureAZ (Date 10/22/13) (see 6.1.6.2)

6.1.4	Is there any evidence that this was artificially divided or fragmented so as to circumvent this section? (ARS §41-2535.C)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
6.1.5	Does the RFQ include a statement that only a small business as defined in R2-7-101, shall be awarded a contract? (R2-7-D302)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.5.1	If RFQ was not awarded to a small business, is there a determination in file that less than three small businesses are registered, or that restricting procurement to small business is not practical under the circumstances (R2-7-D302)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6	Does the RFQ include the following (R2-7-D302.A):					
6.1.6.1	Offer submission requirements, including offer due date and time, where offers will be received, and offer acceptance period	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6.2	Any purchase description, specifications, delivery or performance schedule, and inspection and acceptance requirements	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Offeror signed Offer & Acceptance in the contract file, however no Offer & Acceptance counter-signed by CPO. (Was available in hard copy file)
6.1.6.3	The minimum information that the offer shall contain	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6.4	Any evaluation factors	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6.4.1	Is conflict of interest disclosure in file for any/all non-employee evaluators	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6.5	Whether negotiations may be held	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6.6	The uniform terms and conditions by text or reference	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6.7	The term of the contract, including language for any applicable option for contract extension (ProcAZ Max/Control)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.7	Was the RFQ distributed to a minimum of three small businesses? (R2-7-D302)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.8	Are Procurement Disclosure Statements in file for all employees who participated	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Pre-PDS Implementation

	in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)					
6.1.8.1	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator? (SPO SP# 003)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.9	Is there a written basis for the award on file? (R2-7-D304)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Written basis for award not in contract file. (Was available in hard copy file)
6.1.10	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.10.1	Does the file contain adequate justification for multiple awards, or otherwise obtained SPA authorization? (R2-7-608).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.11	ProcureAZ					
6.1.11.1	Is total spend limit locked in Control Tab?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	RFQ spend not anticipated to exceed \$50,000, however spend limit in ProcureAZ set to indicate no limit.
6.1.11.2	Bidders – General Tab: Is Bid Holder List hidden from Vendors? (preventing collusion)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.12	Contract Administration					
6.1.12.1	Are contract files and records complete and available for public inspection? – note “persons with disabilities” (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	6.1.6.2 and 6.1.9
6.1.12.2	Is there a valid and current Certificate of Insurance on file (if applicable)? (ARS §41-2573)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Certificate of Insurance in file is expired 06/30/14.

6.1.12.3	Are the amounts on the Certificate of Insurance consistent with the contract requirements? (ARS §41-2573)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.12.4	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.12.5	For multi-term contracts, are there written determinations of extension in the contract files (> 5 years)? (R2-7-605.A-C)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
6.1.1	Procurement office should scan and upload written requisition received for initiating this procurement.	Buyer II(b)	ASAP
6.1.6.2	Signed & counter-signed offer and acceptance letter should be scanned and uploaded to the contract file.	Buyer II(b)	ASAP
6.1.9	Written basis for award should be scanned and uploaded into the contract file.	Buyer II(b)	ASAP
6.1.12.2	Valid certificate of insurance should be in file before commencing additional work.	Buyer II(b)	ASAP

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The following criteria is used for each representative contract.

Invitation for Bids (IFB)	
Contract Number:	AGFD14-059182
Contract Title or Description:	Aircraft Parts
Contract Estimated Aggregate Amount:	>\$50,000

6.2A	Invitation for Bids (IFB)	N/A	Yes	No	Requires Action	Comments
6.2.1	Is there a Procurement Request, in writing, on file (Requisition(ProcAZ) /Email/Other)? (Req copy) (R2-7-205)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Solicitation addresses need for Field Operations Division/Aviation Branch. However, file does not contain specific written request from this office as Pre-Solicitation Documents: Applicable Pertinent Information. Contract not linked to requisition in ProcureAZ. Documentation/Validation that initiated solicitation/need?
6.2.2	Should a set-aside or statewide contract been considered/used?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
6.2.3	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Approved by CPO.
6.2.4	Was there adequate notice, a minimum of 14 days before bid opening, of the IFB in a newspaper? (Svcs shall, commodities may - excluding professional / construction) (ARS §41-2533.C, R2-7-B301)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.5	If a Pre-Offer Conference was conducted, was it held a reasonably sufficient time before the offer due date? (R2-7-B302; TB# 043)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.6	Does the solicitation include the most recent edition of Uniform Instructions	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Version dated 03/2011 used. Current Version at

	and Uniform Terms and Conditions issued by SPO – SPO Website: http://spo.az.gov? (R2-7-B301 and R2-7-C301)					time of Contract was 07/13.
6.2.7	Does the solicitation include instructions to offerors, including: (R2-7-B301.C.1)					
6.2.7.1	Offer Due Date/Time, Location where offers will be received, offer acceptance period.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.2	The deadline date for requesting a substitution or exception to the solicitation.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.3	Manner by which to acknowledge amendments – for material changes (TB# 043) (Proc AZ Quote/Summary)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.4	Minimum information required in the offer.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.5	The specific requirements for designating trade secrets and other proprietary information as confidential. If trade secret, does the CPO confirm 1.) What steps the vendor has taken to protect their information, and 2.) What would be harmed by the disclosure of the information?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.6	Any specific responsibility criteria.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.7	Whether the offeror is required to submit samples, descriptive literature, and technical data with the offer.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.8	Any evaluation criteria.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.8.1	Is conflict of interest disclosure in file for any/all non-employee evaluators	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.9	A statement of where documents incorporated by reference are available for inspection and copying.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.10	A statement that the agency may cancel the solicitation or reject an offer in whole or in part.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.11	Certification by the offeror that submission of the offer did not include collusion or other anticompetitive practices.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

6.2.7.12	Certification by the offeror of compliance with A.R.S. § 41-3532 when offering electronics or information technology products, services, or maintenance (Section 508).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.13	The term of the contract, including language for any applicable option for contract extension (ProcAZ Max/Control). (R2-7-B301.C.3)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.8	Was the appropriate insurance module used in the solicitation? (ARS §41-621, ARS §23-901)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.9	Did the bid generate a sufficient number of qualified bidders? (ARS §41-2533, §41-2534)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.10	Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Pre-PDS Implementation
6.2.11	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.12	Was the contract awarded to the lowest responsible and responsive offeror whose offer conforms in all material respects to the requirements and criteria in the solicitation? (R2-7-B314.A; SP# 043)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.13	If applicable, is there a non-responsibility determination on file? (R2-7-B313)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.14	Is there a record showing the basis for determining the successful offeror on file? (R2-7-B314.B)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.15	Were all offerors notified of the award, if ProcureAZ wasn't used? (R2-7-314.D)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.16	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))					
6.2.16.1	Bidders – General Tab: Is Bid Holder List hidden from Vendors? (preventing collusion)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.16.2	Does the file contain adequate justification for multiple awards, or otherwise obtained SPA authorization? (R2-7-608).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.17	If Reverse Auction (SPO SP#025)					
6.2.17.1	Was the commodity appropriate for a reverse auction?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.17.2	Were vendors notified via Bulk Email, including Offer & Acceptance, Specifications, Uniform T&C's, Special T&C's, Uniform Instructions, Special Instructions, and Quick Reference Guide – Responding to R.A.'s?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.17.3	Were Bid Increments set in ProcureAZ, and of appropriate intervals, for the R.A.?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.17.4	Was Soft Close Enabled?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.18	Contract Administration					
6.2.18.1	Are contract files and records complete and available for public inspection? – note "persons with disabilities" (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.18.2	Is there a valid and current Certificate of Insurance on file? (ARS §41-2573)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	COI in file expired 07/03/2014 (Non-expired copy was available in hard copy file)
6.2.18.3	Are the amounts on the Certificate of Insurance consistent with the contract requirements? (ARS §41-2573)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.18.4	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Uploaded documents do not match naming conventions listed in SP#006
6.2.18.5	For multi-term contracts, are there written determinations of extension in the contract files (>5 years)? (R2-7-605. A to C)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
6.2.1	Procurement office should scan and upload written requisition received for initiating this procurement.	Buyer II(a)	ASAP
6.2.6	Need to ensure procurement personnel purge all expired contract templates saved on the agency shared drive – update templates with most up-to-date SPO Uniform Instructions and Terms and Conditions.	CPO	ASAP
6.2.18.2	Valid certificate of insurance should be in file before commencing additional work.	Buyer II(a)	ASAP

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

The following criteria is used for each representative contract.

Invitation for Bids (IFB)	
Contract Number:	AGFD14-062612
Contract Title or Description:	Polyethylene Water Storage Tanks
Contract Estimated Aggregate Amount:	>\$100,000

6.2B	Invitation for Bids (IFB)	N/A	Yes	No	Requires Action	Comments
6.2.1	Is there a Procurement Request, in writing, on file (Requisition(ProcAZ) /Email/Other)? (Req copy) (R2-7-205)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Solicitation addresses need for Support Services, Development Branch. However, file does not contain specific written request from this office as Pre-Solicitation Documents: Applicable Pertinent Information. Contract not linked to requisition in ProcureAZ. Documentation/Validation that initiated solicitation/need?
6.2.2	Should a set-aside or statewide contract been considered/used?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
6.2.3	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Approved by CPO.
6.2.4	Was there adequate notice, a minimum of 14 days before bid opening, of the IFB in a newspaper? (Svcs shall, commodities may - excluding professional / construction) (ARS §41-2533.C, R2-7-B301)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.5	If a Pre-Offer Conference was conducted, was it held a reasonably sufficient time before the offer due date? (R2-7-B302; TB# 043)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.6	Does the solicitation include the most recent edition of Uniform Instructions	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Using July 2013 version.

	and Uniform Terms and Conditions issued by SPO – SPO Website: http://spo.az.gov? (R2-7-B301 and R2-7-C301)					
6.2.7	Does the solicitation include instructions to offerors, including: (R2-7-B301.C.1)					
6.2.7.1	Offer Due Date/Time, Location where offers will be received, offer acceptance period.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.2	The deadline date for requesting a substitution or exception to the solicitation.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.3	Manner by which to acknowledge amendments – for material changes (TB# 043) (Proc AZ Quote/Summary)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.4	Minimum information required in the offer.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.5	The specific requirements for designating trade secrets and other proprietary information as confidential. If trade secret, does the CPO confirm 1.) What steps the vendor has taken to protect their information, and 2.) What would be harmed by the disclosure of the information?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.6	Any specific responsibility criteria.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.7	Whether the offeror is required to submit samples, descriptive literature, and technical data with the offer.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.8	Any evaluation criteria.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.8.1	Is conflict of interest disclosure in file for any/all non-employee evaluators	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.9	A statement of where documents incorporated by reference are available for inspection and copying.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.10	A statement that the agency may cancel the solicitation or reject an offer in whole or in part.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.11	Certification by the offeror that submission of the offer did not include collusion or other anticompetitive practices.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

6.2.7.12	Certification by the offeror of compliance with A.R.S. § 41-3532 when offering electronics or information technology products, services, or maintenance (Section 508).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.13	The term of the contract, including language for any applicable option for contract extension (ProcAZ Max/Control). (R2-7-B301.C.3)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.8	Was the appropriate insurance module used in the solicitation? (ARS §41-621, ARS §23-901)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.9	Did the bid generate a sufficient number of qualified bidders? (ARS §41-2533, §41-2534)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.10	Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.11	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Contract not listed on SPO Website List of Significant Procurements.
6.2.12	Was the contract awarded to the lowest responsible and responsive offeror whose offer conforms in all material respects to the requirements and criteria in the solicitation? (R2-7-B314.A; SP# 043)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.13	If applicable, is there a non-responsibility determination on file? (R2-7-B313)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.14	Is there a record showing the basis for determining the successful offeror on file? (R2-7-B314.B)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.15	Were all offerors notified of the award, if ProcureAZ wasn't used? (R2-7-314.D)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.16	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))					
6.2.16.1	Bidders – General Tab: Is Bid Holder List hidden from Vendors? (preventing collusion)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.16.2	Does the file contain adequate justification for multiple awards, or otherwise obtained SPA authorization? (R2-7-608).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.17	If Reverse Auction (SPO SP#025)					
6.2.17.1	Was the commodity appropriate for a reverse auction?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.17.2	Were vendors notified via Bulk Email, including Offer & Acceptance, Specifications, Uniform T&C's, Special T&C's, Uniform Instructions, Special Instructions, and Quick Reference Guide – Responding to R.A.'s?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.17.3	Were Bid Increments set in ProcureAZ, and of appropriate intervals, for the R.A.?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.17.4	Was Soft Close Enabled?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.18	Contract Administration					
6.2.18.1	Are contract files and records complete and available for public inspection? – note “persons with disabilities” (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.18.2	Is there a valid and current Certificate of Insurance on file? (ARS §41-2573)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	COI in file expired 04/01/2014 (Non-expired copy was available in hard copy file)
6.2.18.3	Are the amounts on the Certificate of Insurance consistent with the contract requirements? (ARS §41-2573)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.18.4	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Uploaded documents do not match naming conventions listed in SP#006
6.2.18.5	For multi-term contracts, are there written determinations of extension in the contract files (>5 years)? (R2-7-605. A to C)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
6.2.1	Procurement office should scan and upload written requisition received for initiating this procurement.	Elizabeth Burgard	ASAP
6.2.6	Need to ensure procurement personnel purge all expired contract templates saved on the agency shared drive – update templates with most up-to-date SPO Uniform Instructions and Terms and Conditions.	CPO	ASAP
6.2.11	Procurement Office should develop procedures to ensure significant procurement role procedures are followed and communicated to SPO. Procedures should be reflected in the agency procurement manual.	CPO	Ongoing: Immediately. Manual: ASAP
6.2.18.2	Valid certificate of insurance should be in file before commencing additional work.	Elizabeth Burgard	ASAP

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

The following criteria is used for each representative contract.

Invitation for Bids (IFB)	
Contract Number:	AGFD14-060775
Contract Title or Description:	Juniper Tree Trimming and Thinning
Contract Estimated Aggregate Amount:	>\$50,000

6.2C	Invitation for Bids (IFB)	N/A	Yes	No	Requires Action	Comments
6.2.1	Is there a Procurement Request, in writing, on file (Requisition(ProcAZ) /Email/Other)? (Req copy) (R2-7-205)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Solicitation addresses need for Arizona Game and Fish Region - Mesa. However, file does not contain specific written request from this office as a Pre-Solicitation Document: Applicable Pertinent Information. Contract not linked to requisition in ProcureAZ. Documentation/Validation that initiated solicitation/need?
6.2.2	Should a set-aside or statewide contract been considered/used?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
6.2.3	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.4	Was there adequate notice, a minimum of 14 days before bid opening, of the IFB in a newspaper? (Svcs shall, commodities may - excluding professional / construction) (ARS §41-2533.C, R2-7-B301)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	No evidence IFB for service (other than delivery) was advertised in a general circulation publication a minimum of 14 days prior to bid opening. (Was available in hard copy file)
6.2.5	If a Pre-Offer Conference was conducted, was it held a reasonably sufficient time before the offer due date? (R2-7-B302; TB# 043)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Note: Page 1 of Solicitation stated date/time/location of Pre-Bid Conference, however

						Page 8 stated "No Pre-Bid Conference will be held." No Amendment was issued addressing inconsistency.
6.2.6	Does the solicitation include the most recent edition of Uniform Instructions and Uniform Terms and Conditions issued by SPO – SPO Website: http://spo.az.gov? (R2-7-B301 and R2-7-C301)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7	Does the solicitation include instructions to offerors, including: (R2-7-B301.C.1)					
6.2.7.1	Offer Due Date/Time, Location where offers will be received, offer acceptance period.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.2	The deadline date for requesting a substitution or exception to the solicitation.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.3	Manner by which to acknowledge amendments – for material changes (TB# 043) (Proc AZ Quote/Summary)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.4	Minimum information required in the offer.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.5	The specific requirements for designating trade secrets and other proprietary information as confidential. If trade secret, does the CPO confirm 1.) What steps the vendor has taken to protect their information, and 2.) What would be harmed by the disclosure of the information?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.6	Any specific responsibility criteria.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.7	Whether the offeror is required to submit samples, descriptive literature, and technical data with the offer.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.8	Any evaluation criteria.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.8.1	Is conflict of interest disclosure in file for any/all non-employee evaluators	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.9	A statement of where documents incorporated by reference are available for inspection and copying.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

6.2.7.10	A statement that the agency may cancel the solicitation or reject an offer in whole or in part.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.11	Certification by the offeror that submission of the offer did not include collusion or other anticompetitive practices.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.12	Certification by the offeror of compliance with A.R.S. § 41-3532 when offering electronics or information technology products, services, or maintenance (Section 508).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.13	The term of the contract, including language for any applicable option for contract extension (ProcAZ Max/Control). (R2-7-B301.C.3)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.8	Was the appropriate insurance module used in the solicitation? (ARS §41-621, ARS §23-901)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.9	Did the bid generate a sufficient number of qualified bidders? (ARS §41-2533, §41-2534)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.10	Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Pre-PDS Requirements
6.2.11	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.12	Was the contract awarded to the lowest responsible and responsive offeror whose offer conforms in all material respects to the requirements and criteria in the solicitation? (R2-7-B314.A; SP# 043)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.13	If applicable, is there a non-responsibility determination on file? (R2-7-B313)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.14	Is there a record showing the basis for determining the successful offeror on file? (R2-7-B314.B)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

6.2.15	Were all offerors notified of the award, if ProcureAZ wasn't used? (R2-7-314.D)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.16	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Offeror signed Offer & Acceptance in the contract file, however no Offer & Acceptance counter-signed by CPO. (Was available in hard copy file)
6.2.16.1	Bidders – General Tab: Is Bid Holder List hidden from Vendors? (preventing collusion)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.16.2	Does the file contain adequate justification for multiple awards, or otherwise obtained SPA authorization? (R2-7-608).	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	File contains multiple award memo stating two awards were made, and due to Procurement Officer error, one is not linked to the solicitation. However, there is no justification for <u>why</u> two awards were made.
6.2.17	If Reverse Auction (SPO SP#025)					
6.2.17.1	Was the commodity appropriate for a reverse auction?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.17.2	Were vendors notified via Bulk Email, including Offer & Acceptance, Specifications, Uniform T&C's, Special T&C's, Uniform Instructions, Special Instructions, and Quick Reference Guide – Responding to R.A.'s?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.17.3	Were Bid Increments set in ProcureAZ, and of appropriate intervals, for the R.A.?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.17.4	Was Soft Close Enabled?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.18	Contract Administration					
6.2.18.1	Are contract files and records complete and available for public inspection? – note "persons with disabilities" (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.18.2	Is there a valid and current Certificate of	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	COI expired 12/31/13.

	Insurance on file? (ARS §41-2573)					
6.2.18.3	Are the amounts on the Certificate of Insurance consistent with the contract requirements? (ARS §41-2573)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.18.4	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.18.5	For multi-term contracts, are there written determinations of extension in the contract files (>5 years)? (R2-7-605. A to C)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
6.2.1	Procurement office should scan and upload written requisition received for initiating this procurement.	CPO	ASAP
6.2.4	Procurement office should develop procedures, evident in a revised procurement manual, which ensures competitive solicitations for services (other than professional/construction) are published in a newspaper a minimum of 14 days prior to bid opening.	CPO	Ongoing: Immediately; Manual: ASAP
6.2.16	Signed & counter-signed offer and acceptance letter should be scanned and uploaded to the contract file.	CPO	ASAP
6.2.16.2	CPO should upload, to the contract file, a Multiple Award Memo Addendum which provides justification for the multiple award.	CPO	ASAP
6.2.18.2	Valid certificate of insurance should be in file before commencing additional work.	CPO	ASAP

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

The following criteria is used for each representative contract.

Invitation for Bids (IFB)	
Contract Number:	AGFD14-058186
Contract Title or Description:	Fence Materials and/or Installation
Contract Estimated Aggregate Amount:	>\$50,000

6.2D	Invitation for Bids (IFB)	N/A	Yes	No	Requires Action	Comments
6.2.1	Is there a Procurement Request, in writing, on file (Requisition(ProcAZ)/Email/Other)? (Req copy) (R2-7-205)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	AGFD Administrative office initiated solicitation, however neither written nor electronic requisition is attached to the file.
6.2.2	Should a set-aside or statewide contract been considered/used?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Unclear if existing statewide contracts for fencing & installation were first considered – 2 of 3 vendors awarded in this solicitation are on statewide contract: Western Fence Company - ADSP013-046426; American Fence and Security – ADSP013-046427. File does not contain Off-Contract Purchase Determination if this solicitation was for product/service which was different in some salient way. SPO Off-Contract Determination log does not reflect a review by SPO. File does not contain determination by SPA to do supplemental contract to the existing state contract. AGFD contract adds one new vendor that

						is not on statewide, includes electric fencing and railroad ties, however products & services appear otherwise very similar to those available on statewide contract.
6.2.3	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Approved by CPO.
6.2.4	Was there adequate notice, a minimum of 14 days before bid opening, of the IFB in a newspaper? (Svcs shall, commodities may - excluding professional / construction) (ARS §41-2533.C, R2-7-B301)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	No evidence IFB for service (other than delivery) was advertised in a general circulation publication a minimum of 14 days prior to bid opening. (Was available in hard copy file)
6.2.5	If a Pre-Offer Conference was conducted, was it held a reasonably sufficient time before the offer due date? (R2-7-B302; TB# 043)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.6	Does the solicitation include the most recent edition of Uniform Instructions and Uniform Terms and Conditions issued by SPO – SPO Website: http://spo.az.gov ? (R2-7-B301 and R2-7-C301)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Solicitation used 03/2011 Uniform Instructions and Uniform Terms and Conditions, however most UTD at time of solicitation were 07/2013.
6.2.7	Does the solicitation include instructions to offerors, including: (R2-7-B301.C.1)					
6.2.7.1	Offer Due Date/Time, Location where offers will be received, offer acceptance period.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.2	The deadline date for requesting a substitution or exception to the solicitation.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.3	Manner by which to acknowledge amendments – for material changes (TB# 043) (Proc AZ Quote/Summary)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.4	Minimum information required in the offer.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.5	The specific requirements for designating trade secrets and other proprietary information as confidential. If trade secret, does the CPO confirm 1.)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	What steps the vendor has taken to protect their information, and 2.) What would be harmed by the disclosure of the information?					
6.2.7.6	Any specific responsibility criteria.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.7	Whether the offeror is required to submit samples, descriptive literature, and technical data with the offer.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.8	Any evaluation criteria.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.8.1	Is conflict of interest disclosure in file for any/all non-employee evaluators	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.9	A statement of where documents incorporated by reference are available for inspection and copying.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.10	A statement that the agency may cancel the solicitation or reject an offer in whole or in part.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.11	Certification by the offeror that submission of the offer did not include collusion or other anticompetitive practices.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.12	Certification by the offeror of compliance with A.R.S. § 41-3532 when offering electronics or information technology products, services, or maintenance (Section 508).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.13	The term of the contract, including language for any applicable option for contract extension (ProcAZ Max/Control). (R2-7-B301.C.3)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.8	Was the appropriate insurance module used in the solicitation? (ARS §41-621, ARS §23-901)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.9	Did the bid generate a sufficient number of qualified bidders? (ARS §41-2533, §41-2534)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.10	Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Pre-PDS Requirement

6.2.11	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.12	Was the contract awarded to the lowest responsible and responsive offeror whose offer conforms in all material respects to the requirements and criteria in the solicitation? (R2-7-B314.A; SP# 043)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.13	If applicable, is there a non-responsibility determination on file? (R2-7-B313)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.14	Is there a record showing the basis for determining the successful offeror on file? (R2-7-B314.B)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.15	Were all offerors notified of the award, if ProcureAZ wasn't used? (R2-7-314.D)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.16	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.16.1	Bidders – General Tab: Is Bid Holder List hidden from Vendors? (preventing collusion)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.16.2	Does the file contain adequate justification for multiple awards, or otherwise obtained SPA authorization? (R2-7-608).	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.17	If Reverse Auction (SPO SP#025)					
6.2.17.1	Was the commodity appropriate for a reverse auction?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.17.2	Were vendors notified via Bulk Email, including Offer & Acceptance, Specifications, Uniform T&C's, Special T&C's, Uniform Instructions, Special Instructions, and Quick Reference Guide – Responding to R.A.'s?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.17.3	Were Bid Increments set in ProcureAZ, and of appropriate intervals, for the	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	R.A.?					
6.2.17.4	Was Soft Close Enabled?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.18	Contract Administration					
6.2.18.1	Are contract files and records complete and available for public inspection? – note “persons with disabilities” (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.18.2	Is there a valid and current Certificate of Insurance on file? (ARS §41-2573)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.18.3	Are the amounts on the Certificate of Insurance consistent with the contract requirements? (ARS §41-2573)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.18.4	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Uploaded documents do not match naming conventions listed in SP#006
6.2.18.5	For multi-term contracts, are there written determinations of extension in the contract files (>5 years)? (R2-7-605. A to C)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
6.2.4	Procurement office should develop procedures, evident in a revised procurement manual, which ensures competitive solicitations for services (other than professional/construction) are published in a newspaper a minimum of 14 days prior to bid opening.	CPO	Ongoing: Immediately; Manual: ASAP
6.2.6	Need to ensure procurement personnel purge all expired contract templates saved on the agency shared drive – update templates with most up-to-date SPO Uniform Instructions and Terms and Conditions.	CPO	ASAP

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

The following criteria is used for each representative solicitation or contract.

Request for Proposals (RFP)	
Solicitation or Contract Number:	AGFD13-045592
Contract Title or Description:	Live Rainbow Trout
Contract Estimated Amount:	>\$50,000

6.3A	Request for Proposals (RFP)	N/A	Yes	No	Requires Action	Comments
6.3.1	Is there a Procurement Request, in writing, on file (Requisition(ProcAZ) /Email/Other) (Req copy)? (R2-7-205)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Solicitation addresses need for Fisheries Branch. However, file does not contain specific written request from this office as a Pre-Solicitation Document: Applicable Pertinent Information. Contract not linked to requisition in ProcureAZ. Documentation/Validation that initiated solicitation/need?
6.3.2	Should a set-aside or statewide contract been considered/used?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
6.3.3	Was this procurement performed by authorized procurement personnel within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Note: Offer and Acceptance counter-signed by CPO 04/17/13 on behalf of Barbara Corella, however SPO does not have record of the current CPO's delegated procurement authority as of this date (first record on file is dated 08/17/13).
6.3.4	Was there adequate notice, a minimum of 14 days before bid opening, of the RFP in a newspaper? (Svcs only - excluding professional / construction) (ARS §41-2533.C, R2-7-B301)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	This review is unable to establish if adequate notice of the RFP was in a newspaper a minimum of 14 days before bid

						opening. The file contains evidence of publication requested, however does not contain a copy of the publication. (Was available in hard copy file)
6.3.5	Are the evaluation factors set forth in the solicitation and listed in relative order of importance? (ARS §41-2534.E)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.6	Were the evaluation criteria fair and appropriate to the solicitation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.7	Does the solicitation include Scope of Work/Specifications and Terms and Conditions? (R2-7-C301)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8	Does the solicitation include instructions to offerors, including: (R2-7-C301.E.1)					
6.3.8.1	Offer Due Date/Time, Location where offers will be received, offer acceptance period. Specify whether hand delivery, U.S. Mail, electronic mail, facsimile, or other means are acceptable methods of submission.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.2	The deadline date for requesting a substitution or exception to the solicitation.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.3	Manner by which to acknowledge amendments – for material changes (TB# 043) (Proc AZ Quote/Summary)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.4	Minimum information required in the offer.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.5	The specific requirements for designating trade secrets and other proprietary information as confidential. If trade secret, does the CPO confirm 1.) What steps the vendor has taken to protect their information, and 2.) What would be harmed by the disclosure of the information?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.6	Specific responsibility or susceptibility criteria. (RFP – TB47 – Attachment 1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Solicitation does not include Attachment 1 – Additions to Special Instructions to Offerors (rev 01/08/13).

6.3.8.7	Whether the offeror is required to submit samples, descriptive literature, and technical data with the offer.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.8	Is conflict of interest disclosure in file for any/all non-employee evaluators	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.9	A statement of where documents incorporated by reference are available for inspection and copying.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.10	A statement that the agency may cancel the solicitation or reject an offer in whole or in part.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.11	Certification by the offeror that submission of the offer did not include collusion or other anticompetitive practices.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.12	Certification by the offeror of compliance with A.R.S. § 41-3532 when offering electronics or information technology products, services, or maintenance (508 Compliance).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.13	Any cost or pricing data required.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.14	The type of contract to be used.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.15	That the offeror is required to declare whether the offeror has been debarred, suspended, or otherwise lawfully prohibited from participating in any public procurement activity, including, but not limited to, being disapproved as a subcontractor of any public procurement unit or other governmental body.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.16	Any offer security required.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.17	A statement that negotiations may be conducted with offerors reasonably susceptible of being selected for award and that fall within the competitive range.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.18	The term of the contract, including language for any applicable option for contract extension (ProcAZ Max/Control). (R2-7-C301.E.2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.9	Was the appropriate insurance module used in the solicitation? (ARS §41-621,	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	ARS §41-901)					
6.3.10	Did the RFP generate a sufficient number of qualified offerors, and if not is there a written determination in file?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.11	Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Pre-PDS Requirement
6.3.12	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.13	Were the offers evaluated based on the evaluation criteria contained in the RFP? (R2-7-C316)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.13.1	Was a kick-off meeting with the evaluation committee held to review the plan, discuss the solicitation, and agree on a schedule? (Request sign-in)(SPO SP# 043)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Sign-in Sheet Attached
6.3.13.2	Did each evaluation committee member review each offer independently? (SPO SP# 043).	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	As indicated by Eval Committee inter-office memo.
6.3.14	Was the contract awarded to the responsible offeror whose offer is determined to be most advantageous to the state based on the evaluation factors set forth in the RFP? (R2-7-C317)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.15	Is there a written determination explaining the basis for the award on file? (R2-7B314.B)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.16	Were all offerors notified of the award? (R2-7-C317.D)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.17	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	evaluation report, award determinations, and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))					
6.3.17.1	Bidders – General Tab: Is Bid Holder List hidden from Vendors? (preventing collusion)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.17.2	Does the file contain adequate justification for multiple awards, or otherwise obtained SPA authorization? (R2-7-608).	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.18	Contract Administration					
6.3.18.1	Are contract files and records complete and available for public inspection? – note “persons with disabilities” (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	6.3.4 & 6.3.8.6
6.3.18.2	Is there a valid and current Certificate of Insurance on file, with amounts consistent with contract requirements? (ARS §41-2573)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	COI in file is expired 09/2013
6.3.18.3	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Uploaded documents do not match naming conventions listed in SP#006
6.3.18.4	For multi-term contracts, are there written determinations of extension in the contract files (>5 years)? (R2-7-605 paragraphs A-C)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
6.3.1	Procurement office should scan and upload written requisition received for initiating this procurement.	Procurement Specialist	ASAP
6.3.4	A copy of the publication of the solicitation in a newspaper 14 days prior to bid opening should be retained in the contract file as evidence of proper legal advertisement. A copy of this publication should be obtained, scanned, and uploaded to the contract file.	Procurement Specialist	ASAP
6.3.8.6	Need to ensure procurement personnel purge all RFP contract templates saved on the agency shared drive which do not already contain Attachment 1 – update templates with Attachment 1 (responsibility and susceptibility criteria).	CPO	ASAP
6.3.18.3	Valid certificate of insurance should be in file before commencing additional work.	Procurement Specialist	ASAP

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

The following criteria is used for each representative solicitation or contract.

Request for Proposals (RFP)	
Solicitation or Contract Number:	AGFD14-067805
Contract Title or Description:	General Contractor – Public Works
Contract Estimated Amount:	>\$100,000

6.3B	Request for Proposals (RFP)	N/A	Yes	No	Requires Action	Comments
6.3.1	Is there a Procurement Request, in writing, on file (Requisition(ProcAZ) /Email/Other) (Req copy)? (R2-7-205)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Solicitation addresses need for Development Branch. However, file does not contain specific written request from this office as a Pre-Solicitation Document: Applicable Pertinent Information. Contract not linked to requisition in ProcureAZ. Documentation/Validation that initiated solicitation/need?
6.3.2	Should a set-aside or statewide contract been considered/used?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
6.3.3	Was this procurement performed by authorized procurement personnel within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.4	Was there adequate notice, a minimum of 14 days before bid opening, of the RFP in a newspaper? (Svcs only - excluding professional / construction) (ARS §41-2533.C, R2-7-B301)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Construction/Engineering
6.3.5	Are the evaluation factors set forth in the solicitation and listed in relative order of importance? (ARS §41-2534.E)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.6	Were the evaluation criteria fair and appropriate to the solicitation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

6.3.7	Does the solicitation include Scope of Work/Specifications and Terms and Conditions? (R2-7-C301)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8	Does the solicitation include instructions to offerors, including: (R2-7-C301.E.1)					
6.3.8.1	Offer Due Date/Time, Location where offers will be received, offer acceptance period. Specify whether hand delivery, U.S. Mail, electronic mail, facsimile, or other means are acceptable methods of submission.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.2	The deadline date for requesting a substitution or exception to the solicitation.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.3	Manner by which to acknowledge amendments – for material changes (TB# 043) (Proc AZ Quote/Summary)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.4	Minimum information required in the offer.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.5	The specific requirements for designating trade secrets and other proprietary information as confidential. If trade secret, does the CPO confirm 1.) What steps the vendor has taken to protect their information, and 2.) What would be harmed by the disclosure of the information?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.6	Specific responsibility or susceptibility criteria. (RFP – TB47 – Attachment 1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Solicitation does not include Attachment 1 – Additions to Special Instructions to Offerors (rev 01/08/13).
6.3.8.7	Whether the offeror is required to submit samples, descriptive literature, and technical data with the offer.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.8	Is conflict of interest disclosure in file for any/all non-employee evaluators	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	File neither contains PDS for state employee evaluators nor conflict of interest disclosures for non-state employee evaluators. (Was available in hard copy file)
6.3.8.9	A statement of where documents incorporated by reference are available	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	for inspection and copying.					
6.3.8.10	A statement that the agency may cancel the solicitation or reject an offer in whole or in part.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.11	Certification by the offeror that submission of the offer did not include collusion or other anticompetitive practices.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.12	Certification by the offeror of compliance with A.R.S. § 41-3532 when offering electronics or information technology products, services, or maintenance (508 Compliance).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.13	Any cost or pricing data required.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.14	The type of contract to be used.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.15	That the offeror is required to declare whether the offeror has been debarred, suspended, or otherwise lawfully prohibited from participating in any public procurement activity, including, but not limited to, being disapproved as a subcontractor of any public procurement unit or other governmental body.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.16	Any offer security required.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.17	A statement that negotiations may be conducted with offerors reasonably susceptible of being selected for award and that fall within the competitive range.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.18	The term of the contract, including language for any applicable option for contract extension (ProcAZ Max/Control). (R2-7-C301.E.2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.9	Was the appropriate insurance module used in the solicitation? (ARS §41-621, ARS §41-901)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.10	Did the RFP generate a sufficient number of qualified offerors, and if not is there a written determination in file?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

6.3.11	Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	File neither contains PDS for state employee evaluators nor conflict of interest disclosures for non-state employee evaluators. (Was available in hard copy file)
6.3.12	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Solicitation is not included on the SPO list of significant procurements.
6.3.13	Were the offers evaluated based on the evaluation criteria contained in the RFP? (R2-7-C316)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.13.1	Was a kick-off meeting with the evaluation committee held to review the plan, discuss the solicitation, and agree on a schedule? (Request sign-in)(SPO SP# 043)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.13.2	Did each evaluation committee member review each offer independently? (SPO SP# 043).	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.14	Was the contract awarded to the responsible offeror whose offer is determined to be most advantageous to the state based on the evaluation factors set forth in the RFP? (R2-7-C317)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.15	Is there a written determination explaining the basis for the award on file? (R2-7B314.B)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	None in contract file in ProcureAZ (Was available in hard copy file)
6.3.16	Were all offerors notified of the award? (R2-7-C317.D)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.17	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

6.3.17.1	Bidders – General Tab: Is Bid Holder List hidden from Vendors? (preventing collusion)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.17.2	Does the file contain adequate justification for multiple awards, or otherwise obtained SPA authorization? (R2-7-608).	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	None in contract file in ProcureAZ. (Was available in hard copy file)
6.3.18	Contract Administration					
6.3.18.1	Are contract files and records complete and available for public inspection? – note “persons with disabilities” (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	6.3.8.8, 6.3.11, 6.3.15, 6.3.17.2
6.3.18.2	Is there a valid and current Certificate of Insurance on file, with amounts consistent with contract requirements? (ARS §41-2573)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.18.3	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.18.4	For multi-term contracts, are there written determinations of extension in the contract files (>5 years)? (R2-7-605 paragraphs A-C)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
6.3.1	Procurement office should scan and upload written requisition received for initiating this procurement.	CPO	ASAP
6.3.8.6	Need to ensure procurement personnel purge all RFP contract templates saved on the agency shared drive which do not already contain Attachment 1 – update templates with Attachment 1 (responsibility and susceptibility criteria).	CPO	ASAP
6.3.12	Procurement Office should develop procedures to ensure significant procurement role procedures are followed and communicated to SPO. Procedures should be reflected in the agency procurement manual.	CPO	Ongoing: Immediately. Manual: ASAP

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

The following criteria is used for each representative solicitation or contract.

Request for Proposals (RFP)

Solicitation or Contract Number:	AGFD14-063777
Contract Title or Description:	Bald Eagle Nestwatch Services
Contract Estimated Amount:	>\$50,000

6.3C	Request for Proposals (RFP)	N/A	Yes	No	Requires Action	Comments
6.3.1	Is there a Procurement Request, in writing, on file (Requisition(ProcAZ) /Email/Other) (Req copy)? (R2-7-205)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Email in Pre-Solicitation Documents
6.3.2	Should a set-aside or statewide contract been considered/used?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
6.3.3	Was this procurement performed by authorized procurement personnel within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.4	Was there adequate notice, a minimum of 14 days before bid opening, of the RFP in a newspaper? (Svcs only - excluding professional / construction) (ARS §41-2533.C, R2-7-B301)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Copy of publications in Pre-Solicitation Documents
6.3.5	Are the evaluation factors set forth in the solicitation and listed in relative order of importance? (ARS §41-2534.E)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.6	Were the evaluation criteria fair and appropriate to the solicitation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.7	Does the solicitation include Scope of Work/Specifications and Terms and Conditions? (R2-7-C301)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8	Does the solicitation include instructions to offerors, including: (R2-7-C301.E.1)					
6.3.8.1	Offer Due Date/Time, Location where offers will be received, offer acceptance period. Specify whether hand delivery, U.S. Mail, electronic mail, facsimile, or other means are acceptable methods of	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	submission.					
6.3.8.2	The deadline date for requesting a substitution or exception to the solicitation.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.3	Manner by which to acknowledge amendments – for material changes (TB# 043) (Proc AZ Quote/Summary)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.4	Minimum information required in the offer.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.5	The specific requirements for designating trade secrets and other proprietary information as confidential. If trade secret, does the CPO confirm 1.) What steps the vendor has taken to protect their information, and 2.) What would be harmed by the disclosure of the information?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.6	Specific responsibility or susceptibility criteria. (RFP – TB47 – Attachment 1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Solicitation does not include Attachment 1 – Additions to Special Instructions to Offerors (rev 01/08/13).
6.3.8.7	Whether the offeror is required to submit samples, descriptive literature, and technical data with the offer.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.8	Is conflict of interest disclosure in file for any/all non-employee evaluators	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.9	A statement of where documents incorporated by reference are available for inspection and copying.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.10	A statement that the agency may cancel the solicitation or reject an offer in whole or in part.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.11	Certification by the offeror that submission of the offer did not include collusion or other anticompetitive practices.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.12	Certification by the offeror of compliance with A.R.S. § 41-3532 when offering electronics or information technology products, services, or maintenance (508 Compliance).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.13	Any cost or pricing data required.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

6.3.8.14	The type of contract to be used.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.15	That the offeror is required to declare whether the offeror has been debarred, suspended, or otherwise lawfully prohibited from participating in any public procurement activity, including, but not limited to, being disapproved as a subcontractor of any public procurement unit or other governmental body.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.16	Any offer security required.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.17	A statement that negotiations may be conducted with offerors reasonably susceptible of being selected for award and that fall within the competitive range.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.18	The term of the contract, including language for any applicable option for contract extension (ProcAZ Max/Control). (R2-7-C301.E.2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.9	Was the appropriate insurance module used in the solicitation? (ARS §41-621, ARS §41-901)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.10	Did the RFP generate a sufficient number of qualified offerors, and if not is there a written determination in file?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.11	Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.12	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Solicitation is not included on the SPO list of significant procurements.
6.3.13	Were the offers evaluated based on the evaluation criteria contained in the RFP? (R2-7-C316)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.13.1	Was a kick-off meeting with the evaluation committee held to review the plan, discuss the solicitation, and agree on a schedule? (Request sign-in)(SPO SP# 043)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Without a sign-in sheet, or explanation in the executive summary, it cannot be determined if a kickoff meeting was

						held
6.3.13.2	Did each evaluation committee member review each offer independently? (SPO SP# 043).	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.14	Was the contract awarded to the responsible offeror whose offer is determined to be most advantageous to the state based on the evaluation factors set forth in the RFP? (R2-7-C317)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.15	Is there a written determination explaining the basis for the award on file? (R2-7B314.B)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.16	Were all offerors notified of the award? (R2-7-C317.D)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.17	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.17.1	Bidders – General Tab: Is Bid Holder List hidden from Vendors? (preventing collusion)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.17.2	Does the file contain adequate justification for multiple awards, or otherwise obtained SPA authorization? (R2-7-608).	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.18	Contract Administration					
6.3.18.1	Are contract files and records complete and available for public inspection? – note “persons with disabilities” (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	6.3.8.6
6.3.18.2	Is there a valid and current Certificate of Insurance on file, with amounts consistent with contract requirements? (ARS §41-2573)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.18.3	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.18.4	For multi-term contracts, are there	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	written determinations of extension in the contract files (>5 years)? (R2-7-605 paragraphs A-C)					
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Item No.	Recommendations	Assigned to	Estimated Completion
6.3.8.6	Need to ensure procurement personnel purge all RFP contract templates saved on the agency shared drive which do not already contain Attachment 1 – update templates with Attachment 1 (responsibility and susceptibility criteria).	CPO	ASAP
6.3.12	Procurement Office should develop procedures to ensure significant procurement role procedures are followed and communicated to SPO. Procedures should be reflected in the agency procurement manual.	CPO	Ongoing: Immediately. Manual: ASAP

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

The following criteria is used for each representative solicitation or contract.

Request for Qualifications	
Solicitation or Contract Number:	AGFD14-071066
Contract Title or Description:	Cultural Resource Surveys for Ben Avery Shooting Facility
Contract Estimated Amount:	>\$100,000

6.3D	Request for Proposals (RFP)	N/A	Yes	No	Requires Action	Comments
6.3.1	Is there a Procurement Request, in writing, on file (Requisition(ProcAZ) /Email/Other) (Req copy)? (R2-7-205)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Solicitation addresses need for Ben Avery Shooting Facility. However, file does not contain specific written request from this office as Pre-Solicitation Documents: Applicable Pertinent Information. Contract not linked to requisition in ProcureAZ. Documentation/Validation that initiated solicitation/need?
6.3.2	Should a set-aside or statewide contract been considered/used?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
6.3.3	Was this procurement performed by authorized procurement personnel within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Approved by CPO.
6.3.4	Was there adequate notice, a minimum of 14 days before bid opening, of the RFP in a newspaper? (Svcs only - excluding professional / construction) (ARS §41-2533.C, R2-7-B301)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Professional Services
6.3.5	Are the evaluation factors set forth in the solicitation and listed in relative order of importance? (ARS §41-2534.E)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.6	Were the evaluation criteria fair and appropriate to the solicitation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

6.3.7	Does the solicitation include Scope of Work/Specifications and Terms and Conditions? (R2-7-C301)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8	Does the solicitation include instructions to offerors, including: (R2-7-C301.E.1)					
6.3.8.1	Offer Due Date/Time, Location where offers will be received, offer acceptance period. Specify whether hand delivery, U.S. Mail, electronic mail, facsimile, or other means are acceptable methods of submission.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.2	The deadline date for requesting a substitution or exception to the solicitation.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.3	Manner by which to acknowledge amendments – for material changes (TB# 043) (Proc AZ Quote/Summary)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.4	Minimum information required in the offer.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.5	The specific requirements for designating trade secrets and other proprietary information as confidential. If trade secret, does the CPO confirm 1.) What steps the vendor has taken to protect their information, and 2.) What would be harmed by the disclosure of the information?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.6	Specific responsibility or susceptibility criteria. (RFP – TB47 – Attachment 1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Solicitation does not include Attachment 1 – Additions to Special Instructions to Offerors (rev 01/08/13).
6.3.8.7	Whether the offeror is required to submit samples, descriptive literature, and technical data with the offer.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.8	Is conflict of interest disclosure in file for any/all non-employee evaluators	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.9	A statement of where documents incorporated by reference are available for inspection and copying.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.10	A statement that the agency may cancel the solicitation or reject an offer in whole or in part.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.11	Certification by the offeror that					

	submission of the offer did not include collusion or other anticompetitive practices.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.12	Certification by the offeror of compliance with A.R.S. § 41-3532 when offering electronics or information technology products, services, or maintenance (508 Compliance).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.13	Any cost or pricing data required.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.14	The type of contract to be used.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.15	That the offeror is required to declare whether the offeror has been debarred, suspended, or otherwise lawfully prohibited from participating in any public procurement activity, including, but not limited to, being disapproved as a subcontractor of any public procurement unit or other governmental body.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.16	Any offer security required.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.17	A statement that negotiations may be conducted with offerors reasonably susceptible of being selected for award and that fall within the competitive range.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.18	The term of the contract, including language for any applicable option for contract extension (ProcAZ Max/Control). (R2-7-C301.E.2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.9	Was the appropriate insurance module used in the solicitation? (ARS §41-621, ARS §41-901)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.10	Did the RFP generate a sufficient number of qualified offerors, and if not is there a written determination in file?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.11	Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

6.3.12	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.13	Were the offers evaluated based on the evaluation criteria contained in the RFP? (R2-7-C316)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.13.1	Was a kick-off meeting with the evaluation committee held to review the plan, discuss the solicitation, and agree on a schedule? (Request sign-in)(SPO SP# 043)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.13.2	Did each evaluation committee member review each offer independently? (SPO SP# 043).	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.14	Was the contract awarded to the responsible offeror whose offer is determined to be most advantageous to the state based on the evaluation factors set forth in the RFP? (R2-7-C317)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.15	Is there a written determination explaining the basis for the award on file? (R2-7B314.B)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.16	Were all offerors notified of the award? (R2-7-C317.D)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.17	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.17.1	Bidders – General Tab: Is Bid Holder List hidden from Vendors? (preventing collusion)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.17.2	Does the file contain adequate justification for multiple awards, or otherwise obtained SPA authorization? (R2-7-608).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.18	Contract Administration					
6.3.18.1	Are contract files and records complete	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	6.3.8.6

	and available for public inspection? – note “persons with disabilities” (ARS §41-2533; SP#006)					
6.3.18.2	Is there a valid and current Certificate of Insurance on file, with amounts consistent with contract requirements? (ARS §41-2573)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.18.3	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Uploaded documents do not match naming conventions listed in SP#006
6.3.18.4	For multi-term contracts, are there written determinations of extension in the contract files (>5 years)? (R2-7-605 paragraphs A-C)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
6.3.1	Procurement office should scan and upload written requisition received for initiating this procurement.	Elizabeth Burgard	ASAP
6.3.8.6	Need to ensure procurement personnel purge all RFP contract templates saved on the agency shared drive which do not already contain Attachment 1 – update templates with Attachment 1 (responsibility and susceptibility criteria).	CPO	ASAP

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

The following criteria is used for each representative solicitation or contract.

Competition Impracticable Procurement

Contract Number:	AGFD14-071406
Contract Title or Description:	Mitigation - Extension
Contract Estimated Amount:	\$94,487

7.3	Competition Impracticable Procurement	N/A	Yes	No	Requires Action	Comments
7.3.1	Is there a Procurement Request, in writing, on file (Requisition/Email/Other)? (Req copy) (ARS §41-2537 and R2-7-E303)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2	Does the procurement request include the following? (R2-7-E303.C)					
7.3.2.1	An explanation of the competition impracticable need and the unusual or unique situation that makes competitive bidding impracticable, unnecessary, or contrary to public interest. (R2-7-E303.C.1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.2	A definition of the proposed procurement process to be utilized and an explanation of how this process will foster as much competition as practicable. (R2-7-E303.C.2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.3	An explanation of why the proposed procurement process is advantageous to the state. (R2-7-E303.C.3)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.4	The scope, duration, and estimated total dollar value of the procurement need (R2-7-E303.C.4)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.5	Did the agency include as much competition as was feasible and negotiated a suitable agreement while pursuing an impracticable situation? (R2-7-E303.A)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

7.3.2.6	Was there a written approval by the delegated agency CPO or by the State Procurement Administrator for this procurement? (R2-7-E303.B and D)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.7	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.8	When this procurement was approved, did the agency negotiate a contract that was advantageous to the State? (R2-7-E303.C.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	The request indicates the vendor's rates are highly competitive, however there is no evidence provided that rates were negotiated.
7.3.2.9	Did the agency include the State's uniform terms and conditions in this contract? (ARS §41-2585; R2-7-606.A)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.3	Are Procurement Disclosure Statements in file for all who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.3.1	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Solicitation is not included on the SPO list of significant procurements.
7.3.5	Contract Administration					
7.3.5.1	Are contract files and records complete and available for public inspection? (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.5.2	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Uploaded documents do not match naming conventions listed in SP#006

Item No.	Corrective Action	Assigned to	Estimated Completion
7.3.3.1	Procurement Office should develop procedures to ensure significant procurement role procedures are followed and communicated to SPO. Procedures should be reflected in the agency procurement manual.	CPO	Ongoing: Immediately. Manual: ASAP

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STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

The following criteria were considered in the procurement performance review process in compliance with AZSPO Technical Bulletin No. 3, Procurement Compliance Reviews – Phase 3 (Agency Procedures, Kickoff/Post-Award Meeting, and Contract Administration).

Item No.	Compliance Criteria					
8.0	Contract Administration	N/A	Yes	No	Requires Action	Comments
8.1	Does the agency have procedures for contract administration?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Through staff interviews, it is evident that many procedures are uniformly understood in re assignment – however these administrative assignments would also help improve an updated Procurement Manual (i.e. staff covers daily duties to assist team member work on protest).
8.1.1	Are contract administration functions assigned?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.2	Are post-award (kickoff) meetings held for complex contracts, in which contractors and contracting officer representatives meet for clear & mutual understanding of terms and conditions?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Staff interviews indicate post-award meetings are very rare, but also infrequently necessary.
8.3	Are contracts monitored for compliance with work progress to ensure services are performed according to quality, quantity, objectives, timeframes, and manner specified within the contract, based on inspection if necessary?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Staff interviews uniformly acknowledge use of Vendor Deficiency Reports should be submit by end-users when issues arise. However it was not identified that these reports may/should also be used to identify good performance as well.
8.3.1	Does agency respond to indications of material breach of contract?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

8.3.2	Does agency have procedures for determining needs for corrective action?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.4	Are contractor's insurance in file and up to date?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Other than insurance obtained at the time of contract origination and renewal, the procurement files reviewed lacked evidence that the office obtains and uploads new Certificates of Insurance to replace expired policies. However IFB & RFP contract terms state, <i>"Contractor and subcontractors shall procure and maintain until all of their obligations have been discharged"</i>
8.4.1	Does agency have mechanisms in place to ensure insurance is up to date?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Through staff interviews, it was identified that procedures are in place to obtain up to date certificates of insurance upon contract renewal, however there is very little to no follow-up on insurance expiring mid-term. While paper certificates are received and retained in a hard copy file, it is not monitored to "ensure" policies are up to date.
8.5	Are all applicable determinations in the contract file?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Rare exception: 6.2C & 6.2D
8.6	Does the agency have procedures for rate increase requests?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.7	Does agency verify with end users that contract is needed and should be extended?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.8	Are amendments/addendums/contract-renewals in compliance with contract terms?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

8.9	Vendor Compliance					
8.9.1	Does agency appropriately respond to Vendor Performance Reports? (documenting both satisfactory & unsatisfactory performance)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	See 8.3
8.9.2	(TBD) Does agency complete Vendor Performance Assessments annually and use in the evaluation of past suppliers?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
8.1	Implement contract administration functions and duties in updated procurement desk manual.	CPO	ASAP
8.3	Staff should reach out to end-users via email instructions for the use of the Vendor Performance Report, with which end-users should report not only deficiencies, but also report noteworthy actions.	Staff	ASAP
8.4 8.4.1	Procurement office should establish procedures in its updated procurement manual what address methods by which staff should ensure non-expired contractor insurance is in the procurement file of record.	CPO	ASAP



THE STATE OF ARIZONA
GAME AND FISH DEPARTMENT

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TY E. GRAY



**Arizona Game and Fish Department's response
to the Procurement Performance Review Report
issued by State Procurement Office**

Contained in the procurement performance review report are the following 3 findings and recommendations from the State Procurement Office's (SPO) examination of the delegated procurement activities performed by the Arizona Game and Fish Department (AGFD). The Agency Chief Procurement Officer (CPO) response accompanies each recommendation and subcategory.

Recommendations and Responses:

1. Finding: "it is observed that HRIS YES training transcripts do not reflect ProcureAZ CBT training commensurate to the delegated procurement authority for all procurement personnel as specified by SPO Technical Bulletin #002"

SPO Recommendation 1.a: "AGFD personnel complete ProcureAZ CBT trainings in HRIS YES commensurate to each individual's position title and grade, as per TB#002 as soon as possible"

AGFD 1.a Response: SPO recommends that the AGFD procurement personnel complete the ProcureAZ CBT trainings in accordance to SPO Technical Bulletin #002 within 90 days. It is agreed that the AGFD procurement personnel will complete the required CBT classes as per the SPO Technical Bulletin #002. It has been about 5 years since the original courses were completed (outside of the HRIS YES system). AGFD recognizes the value and benefit to refresher training. However, completion is dependent on the workload associated with the core responsibilities of the Procurement Branch. The current delegation letter calls for 20 hours of procurement related training each year which is also factored into the workload. Combining these realities, a realistic completion goal is requested to be on or before the end of the current fiscal year.

SPO Recommendation 1.b: "distribute new sub-delegation letters to its procurement staff for the purpose of obtaining signatures of acknowledgement authority and limitations"

AGFD 1.b Response: AGFD does not concur with the recommendation to distribute new sub-delegation letters for this purpose. The sub-delegation letters were integrated into the MAP process. Through the MAP process the procurement personnel acknowledges the content of the sub-delegation letter. The annual acknowledgement of the MAP review

and all associated documents (sub-delegation letter included) is recorded electronically as mandated by the conclusion of the ADOA MAP review process.

SPO Recommendation 1.c: “AGFD issue a revised State Governmental Unit’s Delegated Procurement Personnel list to SPO reflecting current sub-delegated amounts”

AGFD 1.c Response: The current State Governmental Unit’s Delegated Procurement Personnel list limitations were selected to maximize compliance efforts according to the position requirements and the individual’s experience and training as per Technical Bulletin #002. The operational application of this limit was applied to emphasize a signature authority for issuing a single purchase order which is operationally different from the signature authority for the cumulative value estimate of issuing a solicitation. AGFD agrees to reevaluate signature authority amounts and will resubmit a revised State Government Unit Delegation Procurement Personnel list to SPO before the start of the new fiscal year.

2. Finding: the procurement manual is “out-of-date”

SPO Recommendation 2.a: “update its procurement policies and procedures manual”

AGFD 2.a Response: AGFD concurs and a new purchasing policy and procedure manual is currently in production to replace the out-of-date desk reference. This is a 3 phase project that includes a comprehensive process manual, an electronic format of the manual and the integration of online resources. Upon approval of these purchasing procedure drafts, the manual will be assembled and available to all sub-delegated purchasing personnel. This purchasing procedure manual will reside electronically on a shared drive available to all personnel in the Procurement Branch.

Likewise SPO resources are located on the SPO website which is referenced regularly by sub-delegated AGFD personnel. The SPO website has become the preferred source for these documents due to recent updates and expected continued updates of technical bulletins and standard procedure resources.

AGFD is also currently updating its purchasing intranet site. This internal website will serve as a resource to both sub-delegated personnel and the internal customers of the Procurement Branch. It would be preferred that links to the SPO online resources and AGFD internal online resources be integrated into the electronic copy of the AGFD purchasing procedure manual which would comply to this specific finding. The anticipated completion date of the 3 phased project is the end of the fiscal year 15’s 3rd quarter.

3. Finding: “some documentation is noted as being in either a paper file, an electronic file or both”

SPO Recommendation 3.a: “identifying the missing items addressed above, scanning, and uploading them to the respective contract files on ProcureAZ”

AGFD 3.a Response: AGFD acknowledges that ProcureAZ is the State's official procurement record and concurs that all support documents should be uploaded into ProcureAZ. It has been the standard operating procedure to compile a hardcopy file in conjunction with loading critical support documentation into ProcureAZ. The goal is to now eliminate redundancies in the process that require producing documents in both a hardcopy and consequently scanning the finished documents into ProcureAZ. The complete elimination of the paper solicitation and paper contract files with a real-time ProcureAZ official file construct is pending the release of an updated SPO Standard Procedure #006.

SPO Recommendation 3.b: "revision and implementation of the contract file checklist currently found in the AGFD procurement policy and procedure manual"

AGFD 3.b Response: AGFD currently utilizes a check list to assemble the solicitation and contract file. The check list does not address the placement of solicitation and contract files in ProcureAZ. AGFD concurs that an updated check list would be beneficial. In order to update the check list, AGFD will coordinate efforts with the SPO release of the new version of Standard Procedure #006. This Standard Procedure update includes the introduction of an official SPO solicitation document checklist, a standardized naming convention and a categorical location to upload documents into the system. The Standard Procedure update procedure was conducted through an inclusive approach by SPO with outreach to all the State agencies. AGFD participated with input and acceptance of the recommended changes. Upon the release of these documents, AGFD will implement the changes to accommodate official file status of ProcureAZ.

SPO Recommendation 3.c: "CPO ensure procurement personnel purge expired contract templates and ensures new templates are saved"

AGFD 3.c Response: AGFD has updated the formal and informal solicitation templates on July, 14, 2014 and October 2, 2014. Procurement personnel do not have access to older versions of the templates. Further research revealed that solicitation documents were reused from contracts that were rebid. This is no longer practiced and all rebid efforts are started with fresh solicitation templates.

SPO Recommendation 3.d: "implement contract administration procedures . . . which ensures non-expired certificates of insurance are queued to be obtained by procurement personnel"

AGFD 3.d Response: AGFD currently follows the SPO model and legacy methodology of requesting updated certificates at the time of the annual contract renewal. There is the potential occasion of overlap when a certificate expires just prior to the renewal date. The temporary absence of the updated certificate copy in the procurement file does not indicate that the contracted vendor failed to "procure and maintain" the required insurance coverage as per the Special Terms and Conditions. In these situations and upon renewal, the contracted vendors have provided a current certificate indicating that the required insurance has not lapsed. If this process is recommended for change, AGFD looks to SPO for an official procedure requirement.

SPO Recommendation 3.e: “non-state employee evaluators sign a Conflict of Interest Disclosure in lieu of a PDS”

AGFD 3.e Response: The PDS form is written for the State employee. It begins with “Dear Employee.” For this reason the Conflict of Interest Disclosure form (predating the PDS form) is utilized to ensure that ARS 41-2616c was applied. The misapplication of the PDS form was not specifically cited in the Procurement Performance Review worksheets. However, AGFD will hold a training session review of Standard Procedure #003, SPO 120, and the Conflict of Interest Disclosure form with all procurement personnel with a delegated authority. The training session is scheduled for February 24, 2015.

SPO Recommendation 3.f: “It is recommended that the CPO closely monitor the AGFD procurement office’s efforts toward its self-designated goal of 100% contract filing on ProcureAZ.”

AGFD 3.f Response: AGFD concurs that monitoring its self-designated goal remains a priority. The goal is to eliminate redundancies in the current process that requires producing documents in both a hardcopy and consequently scanning the produced documents into ProcureAZ. AGFD will adjust all associated procedures (and internal procedure manual documents) to reflect the updated Standard Procedure #006 that is scheduled to enhance the instruction for document naming conventions and document placement in ProcureAZ.

SPO Recommendation 3.g: “Requisitions, when the needed commodity or service is above the requestor’s delegated procurement authority, should be submitted either electronically or in writing . . . AGFD procurement personnel should review ProcureAZ Quick Reference Guide – General Navigation (Requisition)”

AGFD 3.g Response:

AGFD has implemented the use of a solicitation request form which satisfies AAC R2-7-205. This form collects a brief description of the needed goods or services, estimated costs, budget sources, signatures of approval and other information. It satisfies the recommendation that the request be submitted either electronically or in writing. It will be included in the ProcureAZ file. A requisition is eventually processed in ProcureAZ once the vendor and the cost has been identified through the competitive process.

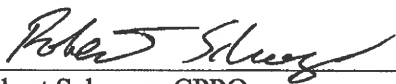
The ProcureAZ Quick Reference Guide – General Navigation (Requisition) referenced in Standard Procedure #024 had been reviewed. Our review of this instruction document did not identify clearly how to process a purchasing requisition for the specific purpose of initiating a solicitation for a yet to be determined vendor or dollar amount. AGFD is not opposed to accomplishing this with a requisition in ProcureAZ. AGFD requests specific training on how to accomplish this directly in ProcureAZ without interfering with the existing AGFD encumbrance process.

Additional Comments and Conclusion:

Regarding the 3 key recommended areas of improvement as listed in the conclusion of the Procurement Performance Review report:

1. AGFD agrees to reevaluate signature authority amounts and will resubmit a revised State Government Unit Delegation Procurement Personnel list to SPO within 5 days of a change determination.
2. AGFD also agrees to continue its efforts to update procurement related policies and procedure manuals initiated internally for the current fiscal year. The most efficient approach to keeping current with continued changes to Technical Bulletins and Standard Procedures will be integrated into the preferred format of AGFD's working manual.
3. AGFD further agrees to transition operational techniques to produce a complete electronic procurement file to ProcureAZ. The complete transition will require additional training focused on the findings listed in this procurement review report response and will require the completion of the updated Standard Procedure #006 with the corresponding checklist.

Finally, it is noted that continued participation in the CPU council meetings has been beneficial with regards to SPO's encouraged participation from AGFD in their recent efforts to update Technical Bulletins and Standard Procedures. As acknowledged in the procurement performance report, "implementation of new processes will be, yet another, taxation of the office's time." Despite such challenges, the AGFD procurement personnel will continue to strive for compliance and effectiveness in support of the Agency's mission, values and strategic objectives. On behalf of the Procurement Branch, I would like to thank the SPO management and staff for their continued open dialogue, cooperation and support.


Robert Schoepe, CPPO
AGFD Procurement Branch Chief, Chief Procurement Officer

1/28/2015
Date